

06-18-01

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Please type a plus sign (+) inside this box ☒ Approved for use through 10/31/2002 OMB 0651-0032
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|------------------------------------------------------------------------------------------------------------------------------|------------------------|----------------------------------------|
| UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b)) | Attorney Docket No. | 7056.033 |
| | First Inventor | Tak Sugahara |
| | Title | A Method for Structuring a Transaction |
| | Express Mail Label No. | EL914836455-US |

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| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents. | ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231 |
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| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing) 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages 23] (preferred arrangement set forth below) - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 6] 5. Oath or Declaration [Total Pages 1] a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for continuation/divisional with Box 18 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies |
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| ACCOMPANYING APPLICATION PARTS 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input type="checkbox"/> Other: |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
 Prior application information: Examiner _____ Group Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

| | | | | | |
|-----------------------------------------------------------------------|-----------|-------------------------------------------------------|-----|--------------|--|
| 19. CORRESPONDENCE ADDRESS | | | | | |
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label | | <input type="checkbox"/> Correspondence address below | | | |
| Name | | 25546 | | | |
| | | PATENT TRADEMARK OFFICE | | | |
| Address | | | | | |
| City | State | Zip Code | | | |
| Country | Telephone | 212 328-6135 | Fax | 212-328-6101 | |

| | | | |
|-------------------|--------------------------------------------------------------------------------------|-----------------------------------|---------------|
| Name (Print/Type) | Barry J. Schindler | Registration No. (Attorney/Agent) | 32,938 |
| Signature |  | Date | June 15, 2001 |

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$) 1,438.00

Complete if Known

| | |
|----------------------|----------------|
| Application Number | To Be Assigned |
| Filing Date | Herewith |
| First Named Inventor | To Be Assigned |
| Examiner Name | To Be Assigned |
| Group Art Unit | To Be Assigned |
| Attorney Docket No. | 7056.033 |

METHOD OF PAYMENT

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

Deposit Account Name

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

☐ Check ☒ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| | Large Entity | Small Entity | Fee Description | Fee Paid |
|-----|---------------|---------------|------------------------|----------|
| | Fee Code (\$) | Fee Code (\$) | | |
| 101 | 710 | 201 355 | Utility filing fee | 710 |
| 106 | 320 | 206 160 | Design filing fee | |
| 107 | 490 | 207 245 | Plant filing fee | |
| 108 | 710 | 208 355 | Reissue filing fee | |
| 114 | 150 | 214 75 | Provisional filing fee | |

SUBTOTAL (1) (\$) 710

2. EXTRA CLAIM FEES

| | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|-------------------|----------|
| Total Claims | 56 | -20** = 36 X 18 = | 648 |
| Independent Claims | 4 | - 3** = 1 X 80 = | 80 |
| Multiple Dependent | | | |

| | Large Entity | Small Entity | Fee Description |
|-----|---------------|---------------|------------------------------------------------------------|
| | Fee Code (\$) | Fee Code (\$) | |
| 103 | 18 | 203 9 | Claims in excess of 20 |
| 102 | 80 | 202 40 | Independent claims in excess of 3 |
| 104 | 270 | 204 135 | Multiple dependent claim, if not paid |
| 109 | 80 | 209 40 | ** Reissue independent claims over original patent |
| 110 | 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 648.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**


| | Large Entity | Small Entity | Fee Description | Fee Paid |
|-----|---------------|---------------|----------------------------------------------------------------------------|----------|
| | Fee Code (\$) | Fee Code (\$) | | |
| 105 | 130 | 205 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 130 | Non-English specification | |
| 147 | 2,520 | 147 2,520 | For filing a request for ex parte reexamination | |
| 112 | 920* | 112 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 55 | Extension for reply within first month | |
| 116 | 390 | 216 195 | Extension for reply within second month | |
| 117 | 890 | 217 445 | Extension for reply within third month | |
| 118 | 1,390 | 218 695 | Extension for reply within fourth month | |
| 128 | 1,890 | 228 945 | Extension for reply within fifth month | |
| 119 | 310 | 219 155 | Notice of Appeal | |
| 120 | 310 | 220 155 | Filing a brief in support of an appeal | |
| 121 | 270 | 221 135 | Request for oral hearing | |
| 138 | 1,510 | 138 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 55 | Petition to revive - unavoidable | |
| 141 | 1,240 | 241 620 | Petition to revive - unintentional | |
| 142 | 1,240 | 242 620 | Utility issue fee (or reissue) | |
| 143 | 440 | 243 220 | Design issue fee | |
| 144 | 600 | 244 300 | Plant issue fee | |
| 122 | 130 | 122 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 710 | 246 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 710 | 249 355 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 710 | 279 355 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

SUBMITTED BY

| | | | | | |
|-------------------|-------------------------------------------------------------------------------------|-----------------------------------|--------|-----------|--------------|
| Name (Print/Type) | Barry J. Schindler | Registration No. (Attorney/Agent) | 32,938 | Telephone | 212-326-6135 |
| Signature |  | | | Date | 212-328-6101 |

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Tak Sugahara
SERIAL NO.: To Be Assigned
FILED: June 15, 2001
ATTY. DOCKET: 7056.033
TITLE: **A METHOD FOR STRUCTURING A TRANSACTION**

EXPRESS MAIL CERTIFICATE

Express Mail Label No. EL914836455-US

Date of Deposit: June 15, 2001

I hereby certify that the following attached paper(s) and/or fee

- (1) Utility Patent Application Transmittal;
- (2) Fee Calculation Sheet;
- (3) Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i);
- (4) Patent Application (comprised of 29 pages, 15 pages of specification, 7 pages of claims, and 1 abstract and 6 pages of figures);
- (5) Credit Card Payment Form in the Amount of \$1,438.00 to cover the filing fee;
- (6) A self-addressed stamped postcard, return of which is requested to acknowledge receipt of the enclosed documents.

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. Section 1.10 on the date indicated above and is addressed to the "Assistant Commissioner for Patents, Box New Patent Applications, Washington, D.C. 20231"

Respectfully submitted,
DREIER & BARITZ, LLP.



Paula M. Maleh

Dated: June 15, 2001

CORRESPONDENCE:

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**NONPUBLICATION REQUEST
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor Tak Sugahara

Title A Method for Structuring a Transaction

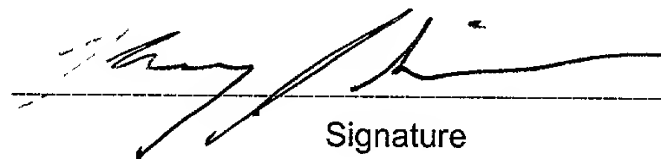
Atty Docket Number 7056.033

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

June 15, 2001

Date



Signature

Barry J. Schindler

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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